

STATE OF ALABAMA  
DEPARTMENT OF MENTAL HEALTH  
RSA UNION BUILDING  
100 N. UNION STREET  
POST OFFICE BOX 301410  
MONTGOMERY, ALABAMA 36130-1410  
[www.mh.alabama.gov](http://www.mh.alabama.gov)

December 9, 2016

**RFP# 2017-15**

Dear Vendor:

The Alabama Department of Mental Health (DMH) is soliciting proposals to provide **Prevention Evaluator** Services for the Strategic Prevention Framework for Prescription Drugs (SPF Rx). Proposals will be accepted until **Friday, January 6, 2017 at 3:00 pm**.

The submission of a proposal does not guarantee the award of a contract. Any contract resulting from the proposal is not effective until it has received all required governmental approvals and signatures. In addition, the selected vendor shall not begin performing work under this contract until notified to do so by the departmental contracting agent.

When submitting a proposal, please read the entire request for proposal document and return your proposal in the requested format. All proposals should be submitted in ink or typed and contain an original signature. Submissions should be delivered to:

Alabama Department of Mental Health  
Office of Contracts & Purchasing  
100 North Union Street, Suite 570  
Montgomery, AL 36104

**Proposals may be sent via Regular US Postal Service (USPS) Mail, Express/Overnight USPS Mail, commercial delivery service such as FedEx or UPS, or hand delivered by the closing date and time. Emailed or faxed responses are not accepted. Also, please note: All US Postal mail, including express/overnight mail that is dispatched to any State agency is processed thru the State mail facility before it is forwarded to the appropriate State agency, thus delaying its arrival to the department. By using the USPS, you assume the risk of delay that may result in your proposal being received late and therefore being determined to be untimely. Postmarks of the date mailed are insufficient; the proposal must actually be received at the above listed office by the date/time specified.**

Sincerely,

*Joey Kreauter*

Joey Kreauter, Director  
Office of Contracts & Purchasing

**Organization:** Alabama Department of Mental Health

**RFP Closing Date:** Friday, January 6, 2017 at 3:00pm. **Review Mailing Note.**

**RFP Contact Info:** Leola Rogers  
AL DMH  
Office of Contracts & Purchasing  
RSA Union Building  
100 North Union Street, Suite 570  
Montgomery, AL 36104  
Telephone Number (334) 353-7440  
Fax Number (334) 353-7090  
Email: [leola.rogers@mh.alabama.gov](mailto:leola.rogers@mh.alabama.gov)

**MAILING NOTE:** Proposals may be sent via Regular US Postal Service (USPS) Mail, Express/Overnight USPS Mail, commercial delivery service such as FedEx or UPS, or hand delivered by the closing date and time. Emailed or faxed responses **are not** accepted. All US Postal mail, including express/overnight mail that is dispatched to any State agency is processed thru the State mail facility before it is forwarded to the appropriate State agency, thus delaying its arrival to the department. By using the USPS, you assume the risk of delay that may result in your proposal being received late and therefore being determined to be untimely. **Postmarks of the date mailed are insufficient; the proposal must actually be received at the above listed office by the date and time specified.**

### ADDITIONAL INFORMATION

1. Who **MAY NOT** respond to this RFP? DMH Certified and/or Contracted Prevention Providers, Employees of DMH and current State employees.
2. In order to do business in the State of Alabama all businesses domestic and foreign must be registered with the Alabama Secretary of State Office.  
\*Domestic means within the State of Alabama. \*\*Foreign means out-of-state.
3. If contracted with the State of Alabama, all vendors must:
  - a. Enroll in E-Verify System thru Homeland Security.
  - b. Register with STAARS Vendor Self Service at <https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService>
4. The Department of Mental Health reserves the right to reject any and all proposals if RFP instructions are not adhered to, such as: received after deadline (see mailing note), requested # of submissions not received.

## DATES and DEADLINES

RFP #2017-15: Evaluator Services for SPF Rx

Item	Date	Delivery Method
RFP Release	December 9, 2016	USPS, ADMH Website, and STAARs website
Deadline to submit RFP questions and requests for clarification	December 19, 2016 by 2:00 pm CST	Email to <a href="mailto:leola.rogers@mh.alabama.gov">leola.rogers@mh.alabama.gov</a>
RFP Questions Posted	December 23, 2016	ADMH website <a href="http://www.mh.alabama.gov/adcp">www.mh.alabama.gov/adcp</a>
RFP Submissions Due (1 original & 3 copies)	<b>January 6, 2017 by 3:00 pm</b>	USPS or FedEx or UPS <b>(Review mailing note)</b>
Notification of selection status	April 1, 2017 Approximately	USPS (In writing)
<p><b>Submit RFP Responses To:</b>  AL Department of Mental Health  Office of Contracts &amp; Purchasing  RSA Union Building  100 N. Union Street, Suite 570  Montgomery, AL 36104</p> <p style="text-align: center;"><b>1 original &amp; 3 copies</b>  <b>Emailed or faxed responses are NOT ACCEPTED.</b></p>		

The Alabama Department of Mental Health (DMH), Division of Mental Health and Substance Abuse Services (DMHSAS), Office of Prevention is seeking proposals from qualified individuals to provide **Evaluator Services** to support and enhance the Substance Abuse Prevention Systems statewide in the State of Alabama.

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## **I. INTRODUCTION**

The Alabama Department of Mental Health, hereinafter, referred to as DMH, was established by Alabama Acts 1965, No. 881, section 22-50-2. Its purpose is to provide for the diagnosis, treatment, rehabilitation, follow-up care, prevention and research into causes of all forms of mental or emotional illness, which includes alcoholism, drug addiction, epilepsy, and intellectual disabilities. DMH has the statutory authority to supervise, coordinate, and establish standards for all operations and activities of the state related to mental health and the provision of mental health services.

The DMH and the DMHSAS desires to contract with an experienced individual and/or entity to conduct evaluation to support and enhance the Substance Abuse Prevention system in the state of Alabama. Up to \$50,000 (per year for five years) has been made available through the Substance Abuse and Mental Health Services Administration (SAMHSA) **Strategic Prevention Framework for Prescription Drugs (SPF Rx)** discretionary grant to fund evaluation services. Successful candidate acknowledges that the first year of the award is compressed due to the release and execution of the contract.

## **II. BACKGROUND**

At the state level, prevention services are managed through the ADMH. The ADMH was established by Alabama Acts 1965, No. 881, Section 22-50-2. Act 881 defines “mental health services” as the diagnosis of, treatment of, rehabilitation for, follow-up care of, prevention of and research into the causes of all forms of mental or emotional illness, including but not limited to, alcoholism, drug addiction, or epilepsy in combination with mental illness or intellectual disability. Among its designated powers, ADMH is authorized to plan, supervise, coordinate, and establish standards for all operations and activities of the State of Alabama, including the provision of services, related to intellectual disability and mental health.

ADMH is designated as the Single State Agency (SSA) in Alabama authorized to receive and administer any and all funds available from any source to support the provision of services and other activities within the scope of its statutory authority. However, ADMH does not operate any substance abuse prevention, treatment, or recovery support programs or directly provide any related services.

ADMH is also charged with the receipt and administration of the Mental Health and SAPT BG provided by the Substance Abuse and Mental Health Services Administration (SAMHSA). The SAPT BG provided by SAMHSA is the primary funding source for Alabama’s public system of substance abuse services. Alabama expends block grant funds to maintain a continuum of

substance abuse services. Twenty percent of the SAPT BG funds are spent on primary prevention programs for individuals who do not require treatment for substance abuse, specifying the activities proposed for each of the six strategies to include Information Dissemination, Education, Alternatives, Problem Identification and Referral, Community-based Process and Environmental.

In addition, ADMH is charged with the administration of SAMHSA's Partnerships for Success (PFS) discretionary grant. Alabama expends discretionary grant funds to enhance and sustain the current prevention infrastructure and maximize its service populations and reach.

ADMH currently certifies thirty-four (34) substance abuse service prevention providers and provides SAPT BG funding to fifteen (15) of these providers and PFS funding to two (2) providers (as of October 2016). Through contractual relationships, prevention providers deliver services through a mix of prevention strategies. Proposed plans to deliver services are provided through a prevention plan that follows the steps in the Strategic Prevention Framework (assessment, capacity, plan, implementation and evaluation). Below is an explanation of the five (5)-step process:

- *Assessment* consists of data collection and use to identify substance abuse related problems; gathering experienced individuals to discuss methods to solve the problems; setting priorities; and deciding what resources the state will need to be ready to move forward with a strategic plan.
- *Capacity* involves individuals identifying resources to address needs pointed out by the data; creating partnerships with key state and community leaders who can help to create a strategic plan; as well as providing training and education for leaders.
- *Planning* consists of the development a strategic plan based on data collection that addresses priority substance abuse related problems.
- *Implementation* is where everything is to be put into action from steps 1-3 and implemented.
- During *Evaluation*, there is a continuation of the process to measure the impact of the strategic plan; analyze data; and identify areas for improvement.

Evidence based prevention activities are aimed at preventing the onset and reducing the progression of substance abuse and reduction of substance abuse-related problems at the community level. These activities create prevention prepared communities that promote emotional health through substance abuse shared protective factors and reduce the likelihood of comorbidity of mental illness, suicide, and substance abuse where individuals, families, schools, faith-based organizations, and workplaces take action to promote emotional health and reduce the likelihood of comorbidity issues associated with substance use. Greatest emphasis of these services are placed on environmental strategies, community based processes, and then followed by the other strategies (information dissemination, alternatives, education, and problem identification and referral). The focus of these efforts primarily centers on high-risk youth; youth in tribal communities; military families; and/or other focuses as specified in the prevention plan. The priorities for the focus in fiscal year 2017 are:

1. Reduce and/or prevent underage drinking;

2. Reduce and/or prevent tobacco use;
3. Reduce and/or prevent prescription drug misuse, use, and abuse;
4. Address prevention across the lifespan (emphasis on high-risk youth and/or baby boomers);
5. Prevent substance abuse-related suicides and attempted suicides (emphasis on populations at high risk, especially military families, LGBTQ youth, and American Indians and Alaska Natives); and/or
6. Build emotional health through utilization of co-existing substance and mental health wellness and promotion, preventing or delaying the onset of, and mitigating symptoms and complications from substance abuse and mental illness.

Specific goals, objectives, and activities to accomplish the prevention priorities are encompassed in the prevention plans along with evaluation performance indicators and descriptions for collecting and measuring change in performance indicator. Evaluation services are needed to develop and sustain an evaluation system for substance abuse prevention services in the state of Alabama that at a minimum track the implementation and evaluation of prevention plan goals, objectives, activities and performance indicators; development, execution, and evaluation of a state survey. To review the prevention system more, epidemiological data and the prevention provider directory, visit [http://www.mh.alabama.gov/SAPV/?sm=d\\_d](http://www.mh.alabama.gov/SAPV/?sm=d_d).

### **III. TARGET POPULATION**

The Evaluator will target evaluation efforts to support the Substance Abuse Prevention system in the State of Alabama by way of the Strategic Prevention Framework for Prescription Drugs (**SPF Rx**).

### **IV. GOALS**

The Evaluator is expected to operate within the Guiding Principles for Evaluators. The American Evaluation Association has identified the following principles:

- Conduct systematic, data-based inquiries about whatever is being evaluated;
- Provide competent services;
- Ensure the honesty and integrity of the entire evaluation process;
- Respect the security, dignity and self-worth of the respondents, program participants, clients and other stakeholders with whom they interact; and
- Articulate and take into account the diversity of interests and values that may be related to the general and public welfare.

With regard to the first two principles listed, the Evaluator will be expected to have both training and experience that equips them to:

1. Develop appropriate evaluation designs (e.g., experimental, quasi-experimental) based on meaningful evaluation questions;
2. Evaluate the technical characteristics of assessment instruments and protocols and help staff select appropriate instruments;
3. Develop valid and reliable surveys, interview protocols, or other desired instruments;

4. Implement the collection and management of evaluation data;
5. Analyze quantitative and qualitative data;
6. Write evaluation reports and communicate findings to diverse audiences; and
7. Translate findings into specific program recommendations.

In support of the principles and expertise discussed above, the tasks the Evaluator will perform but may not be limited to include:

1. Develop and/or review and/or revise the comprehensive evaluation system (plan), to include **SPF Rx**, for substance abuse prevention services in the state of Alabama;
2. Assess the overall effectiveness of the implementation of prevention services in the state of Alabama;
3. Contribute to the identification of effective evaluation policies, practices, etc. for use with the substance abuse prevention service system in the state of Alabama;
4. Advise on the current means utilized to collect prevention plan goals, objectives, activities and performance indicators;
5. Monitor / track the implementation and evaluation of prevention plan goals, objectives, activities and performance indicators;
6. Develop / design and/or incorporate a **SPF Rx** communities survey;
7. Implement sound data collection methods and procedures;
8. Assist with execution plan of state survey;
9. Evaluate data from state survey to include development of an abstract and report that synthesizes analyzed findings that may include annual reports;
10. Conduct state and community level process and outcome evaluation activities;
11. Provide periodic presentations as needed and/or requested to the Office of Prevention Services and the state of Alabama substance abuse prevention system;
12. Attend and/or facilitate local, state, and or national meetings or conference calls as needed;
13. Evaluate the cost-efficiency of achieving prevention program goals; and
14. Provide quarterly progress reports to the Office of Prevention (written).

The Evaluator shall provide all tasks as described to fulfill the evaluation goals as well as additional requirements that may arise through progression of evaluation relationship. The Evaluator shall meet all service and delivery timelines as indicated post contract award in a timely manner.

## **V. CONTRACTUAL LIMITATIONS**

Any and all contracts resulting from this RFP shall be annual, expiring with the end of the state fiscal year, September 30. All contracts shall be subject to availability of funds and continuation of this project. Should the funding or service requirements relative to this project be altered, contracts will be amended, accordingly.

## **VI. VENDOR ELIGIBILITY**

Applicants must meet the following characteristics and abilities criteria in order to submit a proposal in response to this RFP:

1. Preferred Ph.D. degree (or equivalent) in social science, public health, or a related area;
2. A minimum of 5 years' experience in evaluation;
3. Experience in evaluating substance abuse prevention programs preferred or similar comparable prevention evaluation experience;
4. Ability to write a comprehensive evaluation report (e.g., literature review, methods, analysis, conclusions);
5. Ability to conduct a reasonably rigorous evaluation;
6. Objectivity (i.e., the absence of any roles or relationships that might pose a conflict of interest with their role as an evaluator) and unbiased in reporting evaluation data;
7. Knowledge of database and data systems design;
8. Proficiency with statistical software (e.g., SPSS, SAS, STATA);
9. Understanding of Federal and State reporting requirements;
10. Knowledge of Federal and local regulations regarding the protection of human subjects (e.g., Institutional Review Board regulations and applications);
11. Familiarity with a variety of evaluation techniques (quantitative and qualitative);
12. Familiarity with the development of logic models, strategic plans, and evaluation plans;
13. Experience evaluating complex programs;
14. Ability to work collaboratively with community representatives;
15. Sensitivity and competence in working with diverse target populations;
16. Enthusiasm and demonstrated interest in the project;
17. Understanding of prevention science, outcomes-based prevention, utility of logic models, and knowledge of the strategic prevention framework;
18. Excellent writing skills; and the
19. Ability to assist various audiences in interpreting and understanding evaluation findings by communicating in simple and practical terms and their implications for program improvement.

## **VII. PROPOSAL REQUIREMENTS**

The DMH, DMHSAS, Office of Prevention desires to fund Evaluator Services with an individual and/or entity to conduct evaluation to support and enhance the State of Alabama Substance Abuse Prevention system by way of the **SPF Rx**.

The proposal shall be developed following the outline below. Each section, A-D, in the Statement of Work must be addressed, and appendices provided where indicated.

The information provided under each heading explains the intent of the section and/or describes the minimum information you are required to provide. Although minimum requirements must be addressed, it is the responsibility of the applicant to insure that each response thoroughly describes the strategies, and approaches, or provides other relevant information to insure that the topic of the section is fully and distinctly addressed.

Information in **Bold Type** in each section provides the evaluation criteria for review and scoring of the application. The proposal should be single-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should **not exceed the page requirements listed below. Appendixes are not included in the page restrictions.**

## **STATEMENT OF WORK**

### **A. Cover Page**

Applicants should provide a cover page that includes:

- Legal name of the entity or individual;
- Contact person;
- Address, phone number, fax number, and email of the contact person; and
- Date of submission.
- RFP number & name

**Not to exceed one (1) page. Review Criteria: 5 Points**

**The applicant organization provides the listed requirements within the page limit specified.**

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### **B. Knowledge**

Applicants must provide a narrative that includes:

- a summary description of your understanding of the evaluation needs of the substance abuse prevention system in the State of Alabama;
- a description of ability to address the responsibilities and tasks of evaluation;
- examples of prior work in program evaluation, including a summary of experience with various evaluation methods; and

**Not to exceed 10 pages. Review Criteria: 40 Points**

**The plan is clear, containing appropriate plans and procedures to meet responsibilities and deliverables. The listed requirements are included within the page limit specified.**

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### **C. Qualifications, Experience, Prior Work**

Evaluation team includes key personnel with:

- experience in designing and conducting evaluations to include, but not be limited to, the preparation/administration of questionnaires, preparation/administration of evaluation instruments, analysis of evaluation results;
- experience in conducting formative and summative evaluations and using appropriate methods and techniques;
- experience in providing sound, reliable, and meaningful information to be used in making thoughtful and reasonable recommendations and decisions;
- experience in evaluating collaborative initiatives;
- experience in conducting presentations and facilitating training; and the

- inclusion of the names and contact information of three former clients as references (Provide contact information for at least current or former clients as references, designated separately as Appendix I); and
- sample evaluation written product that summarizes and synthesizes process and outcome data, lessons learned, and implications for practice and/or systems changes (Provide separately as Appendix II).

**Not to exceed 5 pages. Review Criteria: 40 Points**

**The team qualifications are clearly demonstrated through a concise summary of current or previous work with experience in similar projects, addressing the requirements within the page limit specified.**

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**D. Budget**

Please provide a detailed, line item annual budget for this project.

- All expenditures shall be identified by individual line items (i.e. personnel, fringe benefits, travel, equipment, supplies, consultants/contracts, other, etc.);
- Budget includes minimum administrative overhead;
- A listing of all personnel, by position for this project, inclusive of level of effort, that will contribute in any way to the operation of this project, salaries, fringe benefits, and full-time equivalency status (Resumes for these personnel will be designated separately as Appendix III);
- All proposed costs are justifiable; and
- A narrative budget justification for each line item. (The budget will be designated separately as Appendix IV.)

**Review Criteria: 15 Points**

**The budget reflects realistic and justifiable cost for the provision of Evaluation services.**

**VIII. REVIEW CRITERIA**

The DMH reserves the right to request necessary amendments, reject any and all proposals received, or cancel this RFP according to the best interest of the DMH.

The DMH, also, reserves the right to waive any informalities in this process, providing such is in the best interest of the DMH. Where the DMH may waive any informalities, such waiver shall in no way modify the RFP requirements or excuse the applicant from full compliance with the contract.

All proposals, which satisfactorily meet the submission requirements specified in item “IX” below, will be evaluated based upon the criteria indicated in each section of the Statement of Work.

## **IX. SUBMISSION REQUIREMENTS**

Proposals shall be submitted in the following written format:

### **IX-a TABLE OF CONTENTS:**

Page numbers shall be listed for each of the major sections of the proposal, including all items listed under the Statement of Work, and for each Appendix.

### **IX-b STATEMENT OF WORK:**

Each item listed in the RFP under the statement of work must be addressed.

### **IX-c LITERATURE CITATIONS:**

Complete citations shall be provided for any literature referenced in your proposal.

### **APPENDICES:**

Include each appendix listed in the guidelines for the Statement of Work.

In the event it becomes necessary to revise any portion of the RFP, DMH will post these changes on its web site: [www.mh.alabama.gov](http://www.mh.alabama.gov).

This announcement does not commit DMH to award a contract or pay any costs incurred in the preparation of proposals. DMH reserves the right to accept or reject, in whole or in part all proposals submitted, and/or to cancel this announcement. The contract award(s) shall be based upon the proposal(s) most advantageous to DMH.

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Proposals must be clearly marked **Evaluation Services for SPF Rx**. All proposals received after the deadline will be returned unopened.

The DMH assumes no responsibility for expenses incurred in the preparation of the proposal. The DMH reserves the right to reject any and all proposals. Additionally, the DMH reserves the right to waive irregularities in any proposals and request clarification of any information, and negotiate with the individuals submitting the best proposal to secure more favorable conditions.

## Evaluation Process

A review committee will examine each eligible proposal submitted. The DMH may elect to conduct interviews with finalists. DMH expects a final selection on or around April 1, 2017.

## Evaluation Criteria

Proposals will be evaluated based on their responsiveness to the items contained in the content section of this Request for Proposal. It is expected that the review committee will rate responses according to the following ways:

<b>STATEMENT OF WORK</b>	<b>Page Limit</b>	<b>Total Points Available</b>
<b>A. Cover Page</b>	Not to exceed 1 page	5 Points
<b>B. Knowledge</b>	Not to exceed 10 pages	40 Points
<b>C. Qualifications, Experience, Prior Work</b>	Not to exceed 5 pages.	40 Points
<b>D. Budget</b>	NA	15 Points

## Selection Criteria

Selection shall be based on the factors to be developed by the procuring state entity, which may include among others, the following:

1. Specialized expertise, capabilities, and technical competence, as demonstrated by the knowledge, qualifications, experience, prior work, and the budget to meet the evaluation requirements.
2. Resources available to perform the work, including any specialized experience in substance abuse prevention evaluation.
3. Record of past performance, quality of work, ability to meet schedules, cost control and contract administration.
4. Ability to meet deliverables and provide services.
5. Ability and proven history in handling special project contracts.